

**FINANCIAL ASSISTANCE  
FUNDING OPPORTUNITY ANNOUNCEMENT**



**U.S. Department of Energy  
Office of Science  
Office of Basic Energy Sciences**

**Experimental Program to Stimulate Competitive Research  
(EPSCoR); Building EPSCoR-State/National Laboratory  
Partnerships**

**Funding Opportunity Number: DE-PS02-07ER07-15  
Announcement Type: Initial  
CFDA Number: 81.049**

**Issue Date:** December 20, 2006

**Preapplication Due Date:** April 30, 2007, 8:00 PM Eastern Time  
**(Preapplications are Required)**

**Application Due Date:** July 16, 2007, 8:00 PM Eastern Time

## NOTE: REQUIREMENTS FOR GRANTS.GOV

### Where to Submit

Applications must be submitted through Grants.gov to be considered for award. You cannot submit an application through Grants.gov unless you are registered. Please read the registration requirements carefully and start the process immediately. Remember you have to update your CCR registration annually. If you have any questions about your registration, you should contact the Grants.gov Helpdesk at 1-800-518-4726 to verify that you are still registered in Grants.gov.

### Registration Requirements

There are several one-time actions you must complete in order to submit an application through Grants.gov (e.g., obtain a Dun and Bradstreet Data Universal Numbering System (DUNS) number, register with the Central Contract Registry (CCR), register with the credential provider, and register with Grants.gov). See [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Use the Grants.gov Organization Registration Checklist at <http://www.grants.gov/assets/OrganizationRegCheck.doc> to guide you through the process. Designating an E-Business Point of Contact (EBiz POC) and obtaining a special password called an MPIN are important steps in the CCR registration process. Applicants, who are not registered with CCR and Grants.gov, should allow at least 21 days to complete these requirements.

**IMPORTANT NOTICE TO POTENTIAL APPLICANTS:** When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e. Grants.gov registration).

### Questions

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). Part VII of this announcement explains how to submit other questions to the Department of Energy (DOE).

### Application Receipt Notices

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of five e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to two (2) business days from application submission to receipt of email Number 2. You will know that your application has reached DOE when the AOR receives email Number 5. You will need the Submission Receipt Number (email Number 1) to track a submission. The titles of the five e-mails are:

- Number 1 – Grants.gov Submission Receipt Number
- Number 2 – Grants.gov Submission Validation Receipt for Application Number
- Number 3 – Grants.gov Grantor Agency Retrieval Receipt for Application Number
- Number 4 – Grants.gov Agency Tracking Number Assignment for Application Number
- Number 5 – DOE e-Center Grant Application Received

The last email will contain instructions for the AOR to register with the DOE e-Center. If the AOR is already registered with the DOE e-Center, the title of the last email changes to:

Number 5 – DOE e-Center Grant Application Received and Matched

This email will contain the direct link to the application in IIPS. The AOR will need to enter their DOE e-Center user id and password to access the application.

**VERY IMPORTANT – Download PureEdge Viewer**

In order to download the application package, you will need to install PureEdge Viewer. This small, free program will allow you to access, complete, and submit applications electronically and securely. For a free version of the software, visit the following web site:

<http://www.grants.gov/DownloadViewer>.

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## **PART I – FUNDING OPPORTUNITY DESCRIPTION**

The Office of Basic Energy Sciences (BES) of the Office of Science (SC), U.S. Department of Energy (DOE), in keeping with its energy-related mission to assist in strengthening the Nation's scientific research enterprise through the support of basic science, engineering, and mathematics, announces its interest in receiving grant applications for collaborative partnerships between academic or industrial researchers from states eligible for the DOE Experimental Program to Stimulate Competitive Research (EPSCoR) program and researchers at DOE's National Laboratories, facilities, and centers. The purpose of the DOE/EPSCoR program is to enhance the capabilities of designated EPSCoR states to conduct nationally competitive, energy-related research and to develop science and engineering human resources in energy-related areas to meet current and future needs. The purpose of this program notice is to initiate and promote partnering relationships that build beneficial energy-related research programs with strong participation by students, postdoctoral fellows, and young faculty from EPSCoR states.

### **SUPPLEMENTARY INFORMATION:**

To continue to enhance the competitiveness of states and territories identified for participation in the Experimental Program to Stimulate Competitive Research (EPSCoR) by the National Science Foundation (NSF), DOE has decided to restrict again eligibility for the program to the following states and territories: Alabama, Alaska, Arkansas, Delaware, Hawaii, Idaho, Kansas, Kentucky, Louisiana, Maine, Mississippi, Montana, Nebraska, Nevada, New Hampshire, New Mexico, North Dakota, Oklahoma, Rhode Island, South Carolina, South Dakota, Vermont, West Virginia, Wyoming, the Commonwealth of Puerto Rico, and US Virgin Islands. To continue to enhance the competitiveness of its EPSCoR program, DOE encourages the formation of partnerships and collaborations between academic and industrial researchers in EPSCoR states and territories and the researchers at DOE's National Laboratories, facilities and centers, in scientific areas supported by DOE's Office of Science. These collaborations should address areas of research of current interest to the Department and supporting the Department's mission. Undergraduate and graduate students, postdoctoral fellows, and young faculty must be active members of the research team, and it is encouraged that these investigators spend a summer or significant time during the academic year at a National Laboratory, facility, or center. It is also encouraged that collaborating scientists from the National Laboratories visit collaborating EPSCoR state faculty for exchange of scientific ideas and fostering active collaboration.

### **DOE Research Programs General Information**

The DOE/EPSCoR State/National Laboratory Partnership Awards are open to the entire range of energy- related disciplines supported by DOE. Additional information on the DOE Research Programs is available at the following website addresses:

Department of Energy (General Information):

<http://www.energy.gov/>

Office of Science:

<http://www.science.doe.gov/>

Basic Energy Sciences:

<http://www.science.doe.gov/feature/BES.htm>

Biological and Environmental Research:

<http://www.science.doe.gov/feature/BER.htm>

Advanced Scientific Computing Research:

<http://www.science.doe.gov/feature/ASCR.htm>

Fusion Energy Sciences:

<http://www.science.doe.gov/feature/fes.htm>

High Energy Physics:

<http://www.science.doe.gov/feature/HEP.htm>

Nuclear Physics:

<http://www.science.doe.gov/feature/NP.htm>

Office of Defense Programs:

<http://www.nnsa.doe.gov/>

Office of Energy Efficiency and Renewable Energy:

<http://www.eere.doe.gov>

Office of Fossil Energy:

<http://www.fe.doe.gov>

Office of Environmental Management:

<http://www.em.doe.gov>

Office of Civilian Radioactive Waste Management:

<http://www.rw.doe.gov>

Office of Nuclear Energy:

<http://www.ne.doe.gov>

## **EPSCoR State/National Laboratory Partnership Application Guidelines**

This section contains specific guidance for the preparation of the DOE/EPSCoR State/National Laboratory Partnership application. To minimize undue effort on the part of applicants and reviewers, interested parties must submit preapplications. Only one application per individual is permitted, and individuals currently receiving DOE EPSCoR or DOE funds are not eligible to apply. The preapplications will be evaluated relative to the scope and research needs of the DOE.

Confidential or proprietary information is discouraged, but any such information must be clearly marked. Attachments or enclosures submitted with the preapplication will not be reviewed. Research involving human subjects or animals must adhere to the guidance detailed in Section 8. "Human Subjects and Animal Welfare". <http://www.science.doe.gov/grants/Welfare.html>

The DOE EPSCoR State/National Laboratory partnership preapplications will be grouped according to programmatic areas of interest to the DOE and will be reviewed by DOE laboratory management to determine the priority of the proposed research. The preapplications will also be reviewed by the DOE relevant programmatic research area program manager. DOE program managers will be asked to rank EPSCoR preapplications by program priority. DOE program managers will be asked for their willingness to provide co-funding if a project is selected for approval. Based on this review, DOE/EPSCoR management will recommend submission of formal applications to the Department. Further detailed instructions regarding the contents of a preapplication and other preapplication guidelines can be found on the SC Grants and Contracts Web Site at: <http://www.science.doe.gov/grants/preapp.html> and <http://www.science.doe.gov/bes/EPSCoR/APPLI1.htm>. DOE is under no obligation to pay for any costs associated with the preparation or submission of applications if an award is not made. Confidential or proprietary information is discouraged, but any such information must be clearly marked. Attachments or enclosures submitted with the preapplication will not be reviewed.

Additional information regarding format, preparation and specific requirements for this program may be found at the following web address: <http://www.science.doe.gov/bes/EPSCoR/APPLI1.HTM> which takes precedence.



## **PART II – AWARD INFORMATION**

### **A. TYPE OF AWARD INSTRUMENT.**

DOE anticipates awarding grants under this program announcement.

### **B. ESTIMATED FUNDING.**

It is anticipated that approximately \$1,500,000 will be available in Fiscal Year 2008, for research that encourages and facilitates collaborative efforts between researchers from EPSCoR states and researchers at DOE's National Laboratories, facilities, and centers. Multiple-year funding of grant awards is expected subject to satisfactory progress of the research, timely and satisfactory progress reporting, availability of funds, and evidence of substantial interactions between the DOE EPSCoR researchers and the DOE National Laboratory partner. DOE is under no obligation to pay for any costs associated with the preparation or submission of an application. DOE reserves the right to fund, in whole or in part, any, all, or none of the applications submitted in response to this Notice.

### **C. MAXIMUM AND MINIMUM AWARD SIZE.**

Ceiling (i.e., the maximum amount for an individual award made under this announcement):  
\$ None

Floor (i.e., the minimum amount for an individual award made under this announcement):  
\$ None

### **D. EXPECTED NUMBER OF AWARDS.**

The number of awards and range of funding will depend on the number of applications received and selected for award.  
N/A

### **E. ANTICIPATED AWARD SIZE.**

Awards are expected to range up to a maximum of \$150,000 annually with terms up to three years.  
N/A

### **F. PERIOD OF PERFORMANCE.**

Applications may request project support for up to three years, with out-year support contingent on the availability of funds, progress of the research, and programmatic needs.

### **G. TYPE OF APPLICATION.**

DOE will accept new applications under this announcement.

## **PART III - ELIGIBILITY INFORMATION**

### **A. ELIGIBLE APPLICANTS.**

Applicants from U.S. Colleges and universities, non-profit organizations, for-profit commercial organizations, state and local governments, and unaffiliated individuals are eligible to apply.

### **B. COST SHARING**

Cost sharing is required. Minimum cost sharing in the amount of 10% of the DOE share of the total budget is required from non-federal sources; e.g., DOE \$150,000/year and Recipient \$15,000/year. All DOE/EPSCoR award funds will be provided to the recipient organization within the EPSCoR state for the purpose of supporting activities in the EPSCoR state and may include travel and lodging, faculty or student stipends, materials, services, and equipment.

### **C. OTHER ELIGIBILITY REQUIREMENTS.**

To continue to enhance the competitiveness of states and territories identified for participation in the Experimental Program to Stimulate Competitive Research (EPSCoR) by the National Science Foundation (NSF), DOE has decided to restrict again eligibility for the program to the following states and territories: Alabama, Alaska, Arkansas, Delaware, Hawaii, Idaho, Kansas, Kentucky, Louisiana, Maine, Mississippi, Montana, Nebraska, Nevada, New Hampshire, New Mexico, North Dakota, Oklahoma, Rhode Island, South Carolina, South Dakota, Vermont, West Virginia, Wyoming, the Commonwealth of Puerto Rico, and US Virgin Islands.

## PART IV – APPLICATION AND SUBMISSION INFORMATION

### A. ADDRESS TO REQUEST APPLICATION PACKAGE.

Application forms and instructions are available at Grants.gov. To access these materials, go to <http://www.grants.gov>, select “Apply for Grants,” and then select “Download Application Package.” Enter the CFDA and/or the funding opportunity number located on the cover of this announcement and then follow the prompts to download the application package. **NOTE:** You will not be able to download the Application Package unless you have installed PureEdge Viewer (See: <http://www.grants.gov/DownloadViewer>).

### B. LETTER OF INTENT AND PREAPPLICATION.

#### 1. Letter of Intent.

Letters of Intent are not required.

#### 2. Preapplication.

Potential applicants are **required** to submit a brief preapplication, referencing **Program Notice DE-PS02-07ER07-15 for receipt by DOE by 8:00 p.m., Eastern Time, April 30, 2007 (preapplications received after this date will not be considered)**. Preapplications will be reviewed for conformance with the guidelines presented in this Notice and suitability in the technical areas specified in this Notice. A response to the preapplications encouraging or discouraging formal applications will be communicated to the applicants by **June 11, 2007**. Applicants who have not received a response regarding the status of their preapplication by this date are responsible for contacting the program to confirm this status.

Only those preapplicants that receive notification from DOE encouraging a formal application may submit full applications. **No other formal applications will be considered.**

Preapplications must be submitted electronically to [epscor@science.doe.gov](mailto:epscor@science.doe.gov) (attention **DE-PS02-07ER07-15**). No Fax or mail submission of preapplications will be considered. After receiving notification from DOE concerning successful preapplications, applicants may prepare formal applications.

The preapplication should include cover-page information and a brief (3-5 pages) project description. The preapplication must include:

##### a. Cover-page information:

- (1) A statement that the document is a preapplication
- (2) Principal Investigator (PI) – Name and address of PI’s organization, telephone number, fax number, and e-mail address
- (3) Title of project
- (4) Notice Number (e.g. 07-15), if applicable
- (5) Name and address (telephone, email and fax) of DOE technical program office and its

associated program manager (this is not same as the DOE EPSCoR program manager).  
DOE program descriptions are listed below.

b. Project description (3-5 pages) may include the following, as appropriate:

- (1) A description of the proposed research, proposed methods of accomplishment.  
This must include a clear description of the nature of the proposed State/Lab partnership
- (2) A statement of its proposed project's importance and relevance to the Department's mission and agency's programmatic needs. This should include a clear explanation of the value of the work to both the state and the DOE National Laboratory partners. Relevance may not be the same for each partner, necessarily.
- (3) An explanation of proposed project's methodology and equipment needs.
- (4) Anticipated project results
- (5) A project schedule with estimated completion date
- (6) Cost-share and total project cost information

c. Letters

- (1) A letter from the appropriate state EPSCoR coordinator endorsing the preapplication.
- (2) A 'Letter of Commitment' from the DOE National Laboratory researcher confirming willingness to collaborate on the project.

## C. CONTENT AND FORM OF APPLICATION – SF 424 (R&R)

You must complete the mandatory forms and any applicable optional forms (e.g., SF-LLL-Disclosure of Lobbying Activities) in accordance with the instructions on the forms and the additional instructions below. **Files that are attached to the forms must be in Adobe Portable Document Format (PDF) unless otherwise specified in this announcement.**

### 1. SF 424 (R&R).

Complete this form first to populate data in other forms. Complete all the required fields in accordance with the pop-up instructions on the form. To activate the instructions, turn on the “Help Mode” (Icon with the pointer and question mark at the top of the form). The list of certifications and assurances referenced in Field 18 can be found on the Applicant and Recipient Page at <http://grants.pr.doe.gov>, under Certifications and Assurances.

### 2. RESEARCH AND RELATED Other Project Information.

Complete questions 1 through 5 and attach files. The files must comply with the following instructions:

#### **Project Summary/Abstract (Field 6 on the Form)**

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director/principal investigator(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information as the Department may make it available to the public. The project summary must not exceed 1 page when printed using standard 8.5” by 11” paper with 1” margins (top, bottom, left and right) with font not smaller than 11 point. To attach a Project Summary/Abstract, click “Add Attachment.”

#### **Project Narrative (Field 7 on the form)**

The project narrative must not exceed 20 pages, including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5” by 11” paper with 1 inch margins (top, bottom, left, and right). **EVALUATORS WILL ONLY REVIEW THE NUMBER OF PAGES SPECIFIED IN THE PRECEDING SENTENCE.** The font must not be smaller than 11 point. Do not include any Internet addresses (URLs) that provide information necessary to review the application, because the information contained in these sites will not be reviewed. See Part VIII.D for instructions on how to mark proprietary application information. To attach a Project Narrative, click “Add Attachment.”

**The first page of your narrative must include the following information (this page will not count in the project narrative page limitation):**

**Applicant/Institution:**

**Street Address/City/State/Zip:**

**Principal Investigator:**

**Address:**

**Telephone Number:**

**Email:**

**Funding Opportunity Announcement Number:** DE-PS02-07ER07-15

**DOE/Office of Science Program Office:**

**DOE/Office of Science Program Office Technical Contact:**

**DOE Grant Number (if Renewal or Supplemental Application):**

Is this a Collaboration? If yes, please list ALL Collaborating Institutions/PIs\* and indicate which ones will also be submitting applications.

*\* Note that collaborating applications must be submitted separately.*

The project narrative must include:

Project Objectives.

This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.

Project Timetable:

This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period. Successful applicants must use this project timetable to report progress.

Project Performance Site

Indicate the primary site where the work will be performed. If a portion of the work will be performed at any other sites, identify those sites, also.

Biographical Sketch Appendix

Provide a biographical sketch for the project director/principal investigator (PD/PI) and each senior/key person listed in Section A on the R&R Budget form. Provide the biographical sketch information as an appendix to your project narrative. Do not attach a separate file. The biographical sketch appendix will not count in the project narrative page limitation. The biographical information for each person must not exceed 3 pages when printed on 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right) with font not smaller than 11 point and must include:

Education and Training. Undergraduate, graduate and postdoctoral training, provide institution, major/area, degree and year.

Research and Professional Experience: Beginning with the current position list, in chronological order, professional/academic positions with a brief description.

*Publications.* Provide a list of up to 10 publications most closely related to the proposed project. For each publication, identify the names of all authors (in the same sequence in which they appear in the publication), the article title, book or journal title, volume number, page numbers, year of publication, and website address if available electronically.

Patents, copyrights and software systems developed may be provided in addition to or substituted for publications.

*Synergistic Activities.* List no more than 5 professional and scholarly activities related to the effort proposed.

#### Current and Pending Support Appendix.

List all current and pending support for each key person. For each organization providing support, show the total award amount for the entire award period (including indirect costs) and the number of person-months per year to be devoted to the project. Provide the Current and Pending Support as an appendix to your project narrative. Do not attach a separate file. The Current and Pending Support Appendix will not count in the project narrative page limitation. Concurrent submission of an application to other organizations for simultaneous consideration will not prejudice its review.

#### Identification of Potential Conflicts of Interest/Bias in Selection of Reviewers Appendix.

Provide the following information in this appendix and append to your project narrative. Do not attach a separate file. (This appendix will not count in the project narrative page limitation):

Collaborators and Co-editors: List in alphabetical order all persons, including their current organizational affiliation, who are, or who have been, collaborators or co-authors with you on a research project, book or book article, report, abstract, or paper during the 48 months preceding the submission of this application. Also, list any individuals who are currently, or have been, co-editors with you on a special issue of a journal, compendium, or conference proceedings during the 24 months preceding the submission of this application. If there are no collaborators or co-editors to report, state "None."

Graduate and Postdoctoral Advisors and Advisees: List the names and current organizational affiliations of your graduate advisor(s) and principal postdoctoral sponsor(s) during the last 5 years. Also, list the names and current organizational affiliations of your graduate students and postdoctoral associates during the past 5 years.

#### **Facilities & Other Resources (Field 9 on the form)**

This information is used to assess the capability of the organizational resources, including subawardee resources, available to perform the effort proposed. Identify

the facilities to be used (Laboratory, Animal, Computer, Office, Clinical and Other). If appropriate, indicate their capacities, pertinent capabilities, relative proximity, and extent of availability to the project. Describe only those resources that are directly applicable to the proposed work. Describe other resources available to the project (e.g., machine shop, electronic shop) and the extent to which they would be available to the project. In order to reduce the number of files attached to your application, please provide the Facility and Other Resource information as an appendix to your project narrative. This appendix will not count in the project narrative page limitation. **Do not attach a file in field 9.**

**Equipment (Field 10 on the form)**

List major items of equipment already available for this project and, if appropriate identify location and pertinent capabilities. In order to reduce the number of files attached to your application, please provide the Equipment information as an appendix to your project narrative. This appendix will not count in the project narrative page limitation. **Do not attach a file in field 10.**

**Other Attachment (Field 11 on the form)**

If you need to elaborate on your responses to questions 1-5 on the “Other Project Information” document, please provide this information as an appendix to your project narrative. This appendix will not count in the project narrative page limitation. **Do not attach a file in field 11.**

**3. RESEARCH AND RELATED BUDGET.**

Complete the Research and Related Budget form in accordance with the instructions on the form (Activate Help Mode to see instructions) and the following instructions. You must complete a separate budget for each year of support requested. The form will generate a cumulative budget for the total project period. You must complete all the mandatory information on the form before the NEXT PERIOD button is activated. You may request funds under any of the categories listed as long as the item and amount are necessary to perform the proposed work, meet all the criteria for allowability under the applicable Federal cost principles, and are not prohibited by the funding restrictions in this announcement (See PART IV, G).

**Budget Justification (Field K on the form).**

Provide the required supporting information for the following costs (See R&R Budget instructions): equipment; domestic and foreign travel; participant/trainees; material and supplies; publication; consultant services; ADP/computer services; subaward/consortium/contractual; equipment or facility rental/user fees; alterations and renovations; and indirect cost type. Provide any other information you wish to submit to justify your budget request. Attach a single budget justification file for the entire project period in Field K. The file automatically carries over to each budget year.

**4. SF-LLL Disclosure of Lobbying Activities**

If applicable, complete SF- LLL. Applicability: If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an



officer or employee of Congress, or an employee of a Member of Congress in connection with the grant/cooperative agreement, you must complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying."

### Summary of Required Forms/Files

Your application must include the following documents:

Name of Document	Format	Attach to
<b>SF 424 (R&amp;R)</b>	PureEdge Form	N/A
<b>RESEARCH AND RELATED Other Project Information</b>	PureEdge Form	N/A
Project Summary/Abstract	PDF	Field 6
Project Narrative, including required appendices	PDF	Field 7
<b>RESEARCH &amp; RELATED SENIOR/KEY PERSON</b>	PureEdge Form	N/A
<b>RESEARCH &amp; RELATED BUDGET</b>	PureEdge Form	N/A
Budget Justification	PDF	Field K

#### D. SUBMISSIONS FROM SUCCESSFUL APPLICANTS.

If selected for award, DOE reserves the right to request additional or clarifying information for any reason deemed necessary, including, but not limited to:

- Indirect cost information
- Other budget information
- Name and phone number of the Designated Responsible Employee for complying with national policies prohibiting discrimination (See 10 CFR 1040.5)
- Representation of Limited Rights Data and Restricted Software, if applicable
- Commitment Letter from Third Parties Contributing to Cost Sharing, if applicable

## E. SUBMISSION DATES AND TIMES.

### 1. Preapplication Due Dates:

Potential applicants are **required** to submit a brief preapplication, referencing **Program Notice DE-PS02-07ER07-15 for receipt by DOE by 8:00 p.m., Eastern Time, April 30, 2007 (preapplications received after this date will not be considered)**. Preapplications must be submitted electronically to [epscor@science.doe.gov](mailto:epscor@science.doe.gov). Preapplications will be reviewed for conformance with the guidelines presented in this Notice and suitability in the technical areas specified in this Notice. A response to the preapplications encouraging or discouraging formal applications will be communicated to the applicants by June 11, 2007. Applicants who have not received a response regarding the status of their preapplication by this date are responsible for contacting the program to confirm this status.

Only those preapplicants that receive notification from DOE encouraging a formal application may submit full applications. **No other formal applications will be considered.**

The intent in requesting a preapplication is to save the time and effort of applicants in preparing and submitting a formal project application that may be inappropriate for the program. Preapplications will be reviewed relative to the scope and research needs as outlined in the summary paragraph and in PART IV B (2) PREAPPLICATION. The preapplication should identify, on the cover sheet, the title of the project, the institution or organization, principal investigator name, telephone number, fax number, and e-mail address. No budget information or biographical data need be included, nor is an institutional endorsement necessary.

### 2. Formal Application Due Date.

Applications must be received by July 16, 2007, 8:00 PM Eastern Time. You are encouraged to transmit your application well before the deadline. **APPLICATIONS RECEIVED AFTER THE DEADLINE WILL NOT BE REVIEWED OR CONSIDERED FOR AWARD.**

## F. GOVERNMENTAL REVIEW

This program is not subject to Executive Order 12372 – Intergovernmental Review of Federal Programs.

## G. FUNDING RESTRICTIONS.

**Cost Principles.** Costs must be allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600. The cost principles for commercial organization are in FAR Part 31.

**Pre-award Costs.** Recipients may charge to an award resulting from this announcement pre-award costs that were incurred within the ninety (90) calendar day period immediately

preceding the effective date of the award, if the costs are allowable in accordance with the applicable Federal cost principles referenced in 10 CFR Part 600. Recipients must obtain the prior approval of the contracting officer for any pre-award costs that are for periods greater than this 90 day calendar period.

Pre-award costs are incurred at the applicant's risk. DOE is under no obligation to reimburse such costs if for any reason the applicant does not receive an award or if the award is made for a lesser amount than the applicant expected.

## **H. OTHER SUBMISSION AND REGISTRATION REQUIREMENTS**

### **1. Where to Submit.**

**APPLICATIONS MUST BE SUBMITTED THROUGH GRANTS.GOV TO BE CONSIDERED FOR AWARD.** Submit electronic applications through the “Apply for Grants” function at [www.Grants.gov](http://www.Grants.gov). If you have problems completing the registration process or submitting your application, call Grants.gov at 1-800-518-4726 or send an email to [support@grants.gov](mailto:support@grants.gov).

### **2. Registration Process.**

You must COMPLETE the one-time registration process (all steps) before you can submit your first application through Grants.gov (See [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)). **We recommend that you start this process at least three weeks before the application due date.** It may take 21 days or more to complete the entire process. Use the Grants.gov Organizational Registration Checklists at <http://www.grants.gov/assets/OrganizationRegCheck.doc> to guide you through the process. **IMPORTANT:** During the CCR registration process, you will be asked to designate an E-Business Point of Contact (EBIZ POC). The EBIZ POC must obtain a special password called “Marketing Partner identification Number” (MPIN).

When you have completed the process, you should call the Grants.gov Helpdesk at 1-800-518-4726 to verify that you have completed the final step (i.e. Grants.gov registration).

### **3. Application Receipt Notices**

After an application is submitted, the Authorized Organization Representative (AOR) will receive a series of five e-mails. It is extremely important that the AOR watch for and save each of the emails. It may take up to two (2) business days from application submission to receipt of email Number 2. You will know that your application has reached DOE when the AOR receives email Number 5. You will need the Submission Receipt Number (email Number 1) to track a submission. The titles of the five e-mails are:

Number 1 - Grants.gov Submission Receipt Number

Number 2 - Grants.gov Submission Validation Receipt for Application Number

Number 3 - Grants.gov Grantor Agency Retrieval Receipt for Application Number

Number 4 - Grants.gov Agency Tracking Number Assignment for Application Number  
Number 5 – DOE e-Center Grant Application Received

The last email will contain instructions for the AOR to register with the DOE e-Center. If the AOR is already registered with the DOE e-Center, the title of the last email changes to:

Number 5 – DOE e-Center Grant Application Received and Matched

This email will contain the direct link to the application in IIPS. The AOR will need to enter their DOE e-Center user id and password to access the application.

## **Part V - APPLICATION REVIEW INFORMATION**

### **A. CRITERIA**

#### **1. Initial Review Criteria.**

Prior to a comprehensive merit evaluation, DOE will perform an initial review in accordance with 10 CFR 605.10(b).

#### **2. Merit Review Criteria.**

Applications will be subjected to formal merit review (peer review) and will be evaluated against the following evaluation criteria which are listed in descending order of importance codified at 10 CFR 605.10(d):

1. Scientific and/or Technical Merit of the Project;
2. Appropriateness of the Proposed Method or Approach;
3. Competency of Applicant's personnel and Adequacy of Proposed Resources;
4. Reasonableness and Appropriateness of the Proposed Budget.

The evaluation process will include program policy factors such as the relevance of the proposed research to the terms of the announcement and the agencies' programmatic needs. Note that external peer reviewers are selected with regard to both their scientific expertise and the absence of conflict-of-interest issues. Both Federal and non-Federal reviewers may be used, and submission of an application constitutes agreement that this is acceptable to the investigator(s) and the submitting institution.

### **B. REVIEW AND SELECTION PROCESS.**

#### **1. Merit Review.**

Applications that pass the initial review will be subjected to a merit review in accordance with the guidance provided in the "Office of Science Merit Review System for Financial Assistance." This Merit Review System is available at <http://www.science.doe.gov/grants/merit.html>.

#### **2. Selection.**

The Selection Official will consider the merit review recommendation, program policy factors, and the amount of funds available.

#### **3. Discussions and Award.**

The Government may enter into discussions with a selected applicant for any reason deemed necessary, including, but not limited to: (1) the budget is not appropriate or reasonable for the requirement; (2) only a portion of the application is selected for award; (3) the Government needs additional information to determine that the recipient is capable of complying with the requirements in 10 CFR part 600; and/or (4) special terms

and conditions are required. Failure to resolve satisfactorily the issues identified by the Government will preclude award to the applicant.

**C. ANTICIPATED NOTICE OF SELECTION AND AWARD DATES.**

DOE is striving to make awards within eight months. The time interval begins on the date applications are due or the date the application is received, if there is no specified due date/deadline.

## **Part VI - AWARD ADMINISTRATION INFORMATION**

### **A. AWARD NOTICES.**

#### **1. Notice of Selection.**

DOE will notify applicants selected for award. This notice of selection is not an authorization to begin performance. (See Part IV.G with respect to the allowability of pre-award costs.)

Organizations whose applications have not been selected will be advised as promptly as possible. This notice will explain why the application was not selected.

#### **2. Notice of Award.**

A Notice of Financial Assistance Award issued by the contracting officer is the authorizing award document. It normally includes, either as an attachment or by reference: 1. Special Terms and Conditions; 2. Applicable program regulations, if any; 3. Application as approved by DOE; 4. DOE assistance regulations at 10 CFR Part 600, or, for Federal Demonstration Partnership (FDP) institutions, the FDP terms and conditions; 5. National Policy Assurances To Be Incorporated As Award Terms; 6. Budget Summary; and 7. Federal Assistance Reporting Checklist, which identifies the reporting requirements.

### **B. ADMINISTRATIVE AND NATIONAL POLICY REQUIREMENTS.**

#### **1. Administrative Requirements.**

The administrative requirements for DOE grants and cooperative agreements are contained in 10 CFR part 600 and 10 CFR Part 605 (See: <http://ecfr.gpoaccess.gov>), except for grants made to Federal Demonstration Partnership (FDP) institutions. The FDP terms and conditions and DOE FDP agency specific terms and conditions are located on the National Science Foundation web site at [http://www.nsf.gov/awards/managing/fed\\_dem\\_part.jsp](http://www.nsf.gov/awards/managing/fed_dem_part.jsp).

#### **2. Special Terms and Conditions and National Policy Requirements.**

##### **Special Terms and Conditions and National Policy Requirements.**

The DOE Special Terms and Conditions for Use in Most Grants and Cooperative Agreements are located at <http://grants.pr.doe.gov>. The National Policy Assurances To Be Incorporated As Award Terms are located at <http://grants.pr.doe.gov>.

##### **Intellectual Property Provisions.**

The standard DOE financial assistance intellectual property provisions applicable to the various types of recipients are located at [http://www.gc.doe.gov/techtrans/sipp\\_matrix.html](http://www.gc.doe.gov/techtrans/sipp_matrix.html).

### **C. REPORTING.**

Reporting requirements are identified on the Federal Assistance Reporting Checklist, DOE F 4600.2, attached to the award agreement.



## **PART VII - QUESTIONS/AGENCY CONTACTS**

### **A. QUESTIONS**

Questions regarding the content of the announcement must be submitted through the “Submit Question” feature of the DOE Industry Interactive Procurement System (IIPS) at <http://e-center.doe.gov>. Locate the program announcement on IIPS and then click on the “Submit Question” button. Enter required information. You will receive an electronic notification that your question has been answered. DOE will try to respond to a question within 3 business days, unless a similar question and answer have already been posted on the website.

Questions relating to the registration process, system requirements, how an application form works, or the submittal process must be directed to Grants.gov at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov). DOE cannot answer these questions.

### **B. Agency Contact**

Dr. Kristin Bennett, SC-22.2  
Materials Sciences and Engineering Division  
Office of Science  
U.S. Department of Energy  
Germantown Building E-422  
1000 Independence Avenue, SW  
Washington, DC 20585-1290  
Phone Number: 301-903-4269  
E-mail: [Kristin.bennett@science.doe.gov](mailto:Kristin.bennett@science.doe.gov)

## **PART VIII - OTHER INFORMATION**

### **A. MODIFICATIONS.**

Notices of any modifications to this announcement will be posted on Grants.gov and the DOE Industry Interactive Procurement System (IIPS). You can receive an email when a modification or an announcement message is posted by joining the mailing list for this announcement through the link in IIPS. When you download the application at Grants.gov, you can also register to receive notifications of changes through Grants.gov.

### **B. GOVERNMENT RIGHT TO REJECT OR NEGOTIATE.**

DOE reserves the right, without qualification, to reject any or all applications received in response to this announcement and to select any application, in whole or in part, as a basis for negotiation and/or award.

### **C. COMMITMENT OF PUBLIC FUNDS.**

The Contracting Officer is the only individual who can make awards or commit the Government to the expenditure of public funds. A commitment by other than the Contracting Officer, either explicit or implied, is invalid.

### **D. PROPRIETARY APPLICATION INFORMATION.**

Patentable ideas, trade secrets, proprietary or confidential commercial or financial information, disclosure of which may harm the applicant, should be included in an application only when such information is necessary to convey an understanding of the proposed project. The use and disclosure of such data may be restricted, provided the applicant includes the following legend on the first page of the project narrative and specifies the pages of the application which are to be restricted:

“The data contained in pages \_\_\_\_\_ of this application have been submitted in confidence and contain trade secrets or proprietary information, and such data shall be used or disclosed only for evaluation purposes, provided that if this applicant receives an award as a result of or in connection with the submission of this application, DOE shall have the right to use or disclose the data herein to the extent provided in the award. This restriction does not limit the government’s right to use or disclose data obtained without restriction from any source, including the applicant.”

To protect such data, each line or paragraph on the pages containing such data must be specifically identified and marked with a legend similar to the following:

“The following contains proprietary information that (name of applicant) requests not be released to persons outside the Government, except for purposes of review and evaluation.”

### **E. EVALUATION AND ADMINISTRATION BY NON-FEDERAL PERSONNEL.**

In conducting the merit review evaluation, the Government may seek the advice of qualified non-Federal personnel as reviewers. The Government may also use non-Federal personnel to conduct routine, nondiscretionary administrative activities. The applicant, by submitting its application, consents to the use of non-Federal reviewers/administrators. Non-Federal

reviewers must sign conflict of interest and non-disclosure agreements prior to reviewing an application. Non-Federal personnel conducting administrative activities must sign a non-disclosure agreement.

**F. INTELLECTUAL PROPERTY DEVELOPED UNDER THIS PROGRAM.**

Patent Rights. The government will have certain statutory rights in an invention that is conceived or first actually reduced to practice under a DOE award. 42 U.S.C. 5908 provides that title to such inventions vests in the United States, except where 35 U.S.C. 202 provides otherwise for nonprofit organizations or small business firms. However, the Secretary of Energy may waive all or any part of the rights of the United States subject to certain conditions. (See “Notice of Right to Request Patent Waiver” in paragraph G below.)

Rights in Technical Data. Normally, the government has unlimited rights in technical data created under a DOE agreement. Delivery or third party licensing of proprietary software or data developed solely at private expense will not normally be required except as specifically negotiated in a particular agreement to satisfy DOE’s own needs or to insure the commercialization of technology developed under a DOE agreement.

**G. NOTICE OF RIGHT TO REQUEST PATENT WAIVER.**

N/A

**H. NOTICE REGARDING ELIGIBLE/INELIGIBLE ACTIVITIES.**

N/A